



Fire Prevention and Control

FY2018-2019 Recruitment and Retention Grant Program Request for Applications (RFA)

Application Deadline: September 14, 2018, by 5:00 P.M.

To ensure adequate time to respond, substantive written questions regarding this Request for Applications will be accepted until September 11, 2018, by 12:00 Noon

Technical Assistance for E-Grants will not be available after 5:00 pm on September 14, 2018

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I. Introduction

The purpose of this FY2018-2019 Recruitment and Retention Grant Program (hereinafter “Grant Program”) Request for Applications (RFA) is to solicit applications for up to \$25,000 in funding for the recruitment and retention of volunteer firefighters and emergency services personnel, pursuant to section 99-q of the State Finance Law. For FY2018-2019, there is \$400,000 in funding available. Funds will be awarded competitively based on the submission of applications by eligible volunteer fire departments, volunteer emergency service organizations and statewide organizations that represent the interests of volunteer firefighters and/or volunteer emergency services personnel. All awards are subject to the availability of funds, pursuant to the provisions of sections 209-G and 630-b of the New York State Tax Law.

II. Eligibility and Not-for-Profit Vendor Pre-Qualification

A. Eligibility:

Only eligible organizations that are located within and serve the State of New York may apply.

1. Eligible organizations include:

- **Volunteer Fire Companies or Fire Departments** that are comprised of 50% or more of volunteers, that are responsible for providing fire protection services to one or more village(s), town(s) or city(ies). This includes not-for-profit fire corporations.
- **Municipalities (village, town, city and county) and Fire Districts**, on behalf of fire departments, fire companies, and/or emergency services organizations, operating under the authority of that municipality or district. The fire departments, fire companies and emergency services organizations providing fire protection and/or emergency medical services to the municipalities and fire districts must be comprised of 50% or more of volunteers.
- **Volunteer Emergency Medical Service Organizations**, comprised of 50% or more of volunteers, which are responsible for providing emergency medical service as defined by Article 30 of the Public Health Law, including, but not limited to: volunteer ambulance squads or corps, volunteer rescue squads, first aid squads, etc.
- **Statewide Organizations** representing the interests of, or serving to benefit, volunteer firefighters or volunteer emergency services personnel. Organizations must be a not-for-profit organization to be eligible.

Important Note: Pre-Qualification within the Grants Gateway may be required for certain Not-For-Profit Applicants. Please refer to Section III. B for clarification.

2. Organizations that are not eligible for this Grant Program include:

- Fire departments, fire companies, and/or emergency services organizations whose volunteer membership is less than 50% of their total manning strength.
- Federal fire departments and fire departments under contract with the Federal Government whose sole responsibility is fire protection on Federal property.
- For-profit fire departments and other emergency services organizations (i.e., do not have specific not-for-profit status or are not municipally based).
- Organizations that are affiliated with the NYS Division of Homeland Security and Emergency Services, or a component thereof.

B. Vendor Pre-Qualification Requirements for Not-for-Profit Applicants

All not-for-profit vendors subject to pre-qualification are required to pre-qualify prior to grant application. Please review the following section carefully to verify whether you must complete the pre-qualification requirements. **Applications received from not-for-profit applicants that are not Pre-Qualified in the Grants Gateway on the application due date listed on the cover of this RFA cannot be evaluated. Such applications will be disqualified from further consideration. We recommend that you submit your pre-qualification document vault at least a week prior to the deadline of this request for applications to ensure time for your document vault to be reviewed.**

1. Volunteer Firefighter Companies' Pre-Qualification Status

Organizations incorporated under §1402 of the Not-For-Profit Corporation Law are no longer required to prequalify in order to be eligible to apply for grants offered by the State of New York, enter into a contract with the State, amend an existing State contract or make a purchase with State funds. Any volunteer fire company incorporated by NFPCL §1402 that is currently prequalified does not need to maintain their document vault unless they choose to do so.

2. Other Eligible Organizations Pre-Qualification Status

All Not-for-Profit Volunteer EMS agencies and Not-for-Profit Organizations who represent the interests of volunteer firefighters and volunteer emergency service personnel are required to go through the pre-qualification procedures. These organizations must submit an online Pre-Qualification Application through NYS Gateway. Please use the instructions in Exhibit C to meet this requirement.

III. FY2018-2019 Recruitment and Retention Grant Program Objectives

In recognition of the scope of recruitment and retention challenges and to maximize the benefit of the funding available, the grant program seeks to promote the development of, or support existing, regional recruitment and retention efforts. Eligible organizations serving a single jurisdiction may apply, but the scoring of each application will include an evaluation of the regional recruitment and retention efforts.

New York State currently has more than 1,700 volunteer fire and emergency service organizations. This Grant Program is intended to promote the recruitment and retention of volunteer firefighters and volunteer emergency services personnel through the following primary objectives:

- Support organizational leadership development through education and training; and
- Develop and implement recruitment and retention programs and materials.

Core activities for recruitment and retention include activities such as:

- Providing leadership development and business management training programs addressing:
 - Management principles
 - Conflict Resolution
 - Ethics
 - Customer Service (Internal/External)
- Development and implementation of marketing plans, publicity campaigns, and community awareness initiatives to include coordinated outreach events supporting and encouraging volunteerism.
- Adopting existing programs aimed at recruitment, such as the Explorer Post program. Allowable costs under such a program would include:
 - Charter and membership fees
 - Training costs, including travel expenses

IV. Regional Partnership Development and Support

To maximize the benefit of the available funding and encourage sustained recruitment and retention efforts, this Grant Program seeks to promote the formation of new regional recruitment and retention partnerships or support existing regional efforts.

Each regional application must identify a Submitting Partner and all Participating Partners. All Partners must be eligible organizations identified in Section III above. The roles and responsibilities of Submitting and Participating Partners are as follows:

A. Submitting Partner Guidelines: The Submitting Partner will be the fiduciary agent for a successful regional application, responsible for completing all required grant reporting forms in coordination with and on behalf of one or more eligible organizations.

B. Participating Partner Guidelines: Participating Partners will be responsible for coordinating with the Submitting Partner on the development of an application for the Grant Program and the implementation and evaluation of funded projects.

Application Limit: For the purpose of the Grant Program, an eligible organization may **submit** only one application, but may also be included as a **Participating partner** (not a submitting partner) in an additional **regional application**.

Applications by Statewide Organizations: Statewide organizations must demonstrate that they serve a statewide interest to volunteer Fire and EMS personnel, and detail how the program to be funded will

provide a statewide benefit to recruitment and/or retention efforts. The Statewide Organization is solely responsible for acting as the fiduciary agent for a successful application and will be responsible for complying with all program reporting requirements. The identification of Participating Partner organizations is not required.

V. Authorized Program Expenditures

A. Permissible Costs

Funding awarded under this Grant Program may be used to initiate both recruitment and retention efforts. Initiatives that may receive funding include, but are not limited to, the following:

- Training promoting leadership development and addressing the critical role leadership plays in developing and maintaining volunteer membership. Permissible costs include those related to instructor or presenter fees, costs incurred by the Grantee to sponsor the training, and the cost of course materials. Training supplies and equipment not previously budgeted are also allowable.
- Training at the National Fire Academy or New York State Academy of Fire Science including travel and course material costs not otherwise covered or reimbursed. Suggested curriculum areas include Fire/EMS Officer, Fire/EMS Service Instructor, Leadership and Management, and related coursework included within the National Fire Academy's Volunteer Incentive Program. It must be demonstrated that courses are not available locally or regionally by an outreach training program. These courses are limited to members/employees in a supervisory or leadership capacity.
- Initiatives to promote health and wellness. Permissible costs include those necessary for the development and adoption of a formal health and wellness program including: entry level physicals meeting NFPA 1582; annual medical/fitness health evaluations consistent with NFPA 1582; implementation of peer fitness trainer programs; physical fitness equipment (including shipping charges and sales tax, as applicable), and supplies directly related to physical fitness activities; and behavioral/mental health and wellness programs. **NOTE:** Grant funding may only be utilized to adopt and implement a new formal health and wellness program or to expand an existing program. It may not be utilized to replace funding already budgeted, allocated or expended for an existing program (See section detailing **Costs Not Permissible**).
- Marketing plans/publicity campaigns/community awareness initiatives to recruit new volunteer members.
- Design, production and distribution of promotional merchandise, brochures and other materials.

Note: Giveaways such as pencils, pens, cups, mugs, balloons, t-shirts etc., will be considered and allowed if the applicant clearly defines the activity and benefit for such materials.

- Sponsorship of local community events designed to help recruit volunteers.
- Newspaper publications, promotional mailings and other advertising designed to help recruit volunteers.
- Adopting established worksite-based career education programs, such as the Explorer Post program. Charter fees, membership dues and training costs directly related to the program are allowable under the Grant Program.

DHSES will not fund activities without the applicant having made a sufficient correlation between each activity and its positive effect on the recruitment and/or retention of volunteer firefighters or emergency services personnel.

B. Costs Not Permissible

- Costs incurred prior to award; including grant writer fees.
- The legislative language for this grant precludes the award of funding for operational activities such as the purchase of firefighting equipment and vehicles.
- Payments or recognition to any members or employees, to include any cash payouts or any type of gift card.
- Payments for travel not related to the duties and responsibilities of eligible organizations.
- Costs associated with award banquets, such as food, refreshments, entertainment, or rental facilities (reimbursement for actual service awards, i.e., plaques, and trophies, is eligible).
- Costs for training regularly covered under the department's normal operating budget, such as tuition or instructor fees for department-mandated, basic-level training.
- Costs for attendance at a training course that are otherwise covered or reimbursed by the sponsoring agency.
- Fees for courses and training that are available free of charge on the internet or at a state/local training facility through an outreach program (NIMS 100, 700, 800, etc.).
- Uniforms, to include any hazardous condition personal protective equipment, station uniforms or dress uniforms.
- Organizational, management and administrative costs.
- Fitness club memberships or the purchase of medical equipment not used for the purposes of a formal health and wellness program.
- Payment for costs fully covered by a grant award or legislative member item.
- Supplanting or replacing funding for costs budgeted, allocated or expended for an existing program. Grant funding may only be utilized to establish a new program or expand an existing one. For example, an organization which has not provided for entry level or annual medical evaluations of its members may apply for grant funding to establish a program, with the understanding that sustainment of the program beyond the one-year grant performance period is the organization's responsibility.

Once an award has been made, any amendment or alteration of the program or initiative to be funded must be approved by the State Fire Administrator.

Any questions regarding eligibility of costs or requests to amend an application or program to be funded should be directed to grant.info@dhSES.ny.gov.

VI. Application Format and Content

- A. Format:** Grant applications **MUST** be submitted via the automated E-Grants System operated by DHSES. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If upon reading this RFA you are interested in completing a grant application, and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a user name and password. The Registration Request Form and a detailed tutorial on how to use the E-Grants system is available at: <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>.

B. Required Application Content: The following questions must be addressed in your FY2018-2019 Recruitment and Retention Grant Program application. You must answer these grant specific questions in the required RFA Worksheet.

- **Note:** Applicants are required to answer all the questions in this Worksheet, unless directed otherwise by the individual questions within each of the criteria sections. Failure to answer all the required questions could lead to a reduction in your score for the section being reviewed and could lead to an unfavorable overall score by the review panel. Please refer to “Exhibit A” for some best practices and tips on preparing an effective grant application.

The following must be addressed in your application:

1. Applicant and Jurisdiction Description

A. Organization name and, if applicable, a list of Participating Partners:

Please identify the Submitting Partner or applicant organization and, if applicable, provide a list of all Participating Partner organizations.

B. Description of Organization or Partnership (Environment):

Please provide or describe the following: Location within New York State; Number of Square Miles Covered; Population of Region covered; Annual Operating Budget; Primary response services provided; and Average annual call volume for last three years (2015-2017).

C. Affirmation of Fire Reporting

To be eligible for this award, all Fire Departments are required to be current on their National Fire Incident Reporting (NFIRS) through the NYS Office of Fire Prevention and Control. Any applicants for which this provision does not pertain, please check “not applicable”.

D. Description of Organization (Personnel):

Please identify the number of personnel within the organization or regional recruitment and retention partnership. Indicate paid and volunteer staffing totals. For regional partnerships, membership information should be identified for the Submitting Partner and each Participating Partner.

E. Description of Organization (Historical Perspective):

Please provide a brief history of the organization or regional recruitment and retention partnership. Describe how the organization or partnership represents the interests of volunteer fire or emergency service personnel.

2. Proposed Budget Plan / Justification of Costs

Please identify the total cost of each project to be funded and itemize any and all portions that are inclusive to the project(s). As a reminder, the application cap for the Grant Program is \$25,000. Ensure that you identify the cost of each of the projects as well as the NYS Budget Category the funding represents.

In addition, please provide a detailed description of the projects within your Proposed Budget Plan. This description should identify the specific recruitment and retention challenge being addressed, and explain how the requested projects will contribute to the achievement of its overall objective.

2.A. Proposed Budget: Training Requests: For any training-related projects requested within your Budget Plan, please provide the appropriate details to include the project title, course title, and estimated number of participants and utilize the Budget-Training tab of the RFA Worksheet.

3. Primary Objective

In narrative format, please describe how the project(s) requested will solve the challenge(s) and reach the goals outlined in your Budget Plan/Justification. In addition, please address how those specific project(s) support the program objectives to be funded under the FY2018-2019 Recruitment and Retention Program and also highlight how the funding of these projects will build/enhance your agencies recruitment/retention efforts.

4. Implementation Plan

Please describe how your organization or regional partnership will implement each project, to include an estimated timeline of the project implementation, consistent with the one year spend down time frame of this grant funding.

5. Sustainment Plan

Sustainment and maintenance of recruitment and retention efforts supported or established under the Grant Program will be the responsibility of each successful applicant.

In a narrative format, please describe how your organization or regional recruitment and retention partnership will continue to retain or sustain the membership achieved as a result of this grant program, and how any associated costs will be absorbed or divided subsequent to the performance period of this grant program. Regional recruitment and retention partnerships must identify the roles and responsibilities of the specific partners in the membership sustainment plan.

This section should detail how the results of each project will be measured and tracked.

NOTE: As any current award will not guarantee a future award, this Grant Program cannot be considered as a future resource in any sustainment plan.

6. Bonus Points Criteria (2 categories for up to 10 total points):

Bonus points may be awarded by the review panel based upon the criteria listed below.

- A. Regional Project:** For applications being submitted under a regional partnership, applicants must provide sufficient detail on how the submitting and participating partners will mutually develop and/or share developed projects, including a clear reporting of relationships concerning enhancement and/or sustainment of developed projects within their Budget Plan. Up to five (5) Bonus Points may be awarded based on the responses in this section.
- B. Leadership Training Project:** For applications including proposed project(s) focusing on retention efforts in the form of leadership development training, the reviewer can award up to five (5) additional points based on the overall project and its impact. Leadership

training projects should be clearly articulated in the Budget-Training Section within the RFA Worksheet.

7. Overall Assessment of Application

Under the FY2018-2019 Recruitment and Retention Grant Program, applicants will receive up to five (5) points based on their “Overall Assessment of Application.” This score will be determined by the reviewers based on a complete assessment of the application. Reviewers will assess how well the application addresses the primary objectives of the FY2018-2019 Recruitment and Retention Grant Program.

8. Grant Management Performance History

For previously funded sub-recipients, DHSES will assess how well they have historically managed grant funds. This will include reporting compliance, successful award spend-down, and program objective compliance. Once a prospective applicant’s final overall average score is determined by the review panel, DHSES may subtract up to five (5) points based on its “Grant Management Performance History” criteria.

9. Notice of Endorsement

Once completed and signed, the **Notice of Endorsement** must be scanned and submitted as a pdf file along with the application package. The **Notice of Endorsement** document indicates agreement by the County Fire Coordinator or Emergency Managers (for fire sector applicants) to agree to the purpose, conditions and rules surrounding the grant program and pledges to work cooperatively to fulfill the purpose of the grant, if awarded. Please refer to “Exhibit B” for the Notice of Endorsement document and further instructions.

VII. Application Evaluation Criteria

The following multi-tiered criteria will be used by DHSES to evaluate each application and to determine grant awards. Grant awards will be approved by the Commissioner of DHSES.

A. Tier 1 Criteria

Tier 1 criteria are rated either “yes” or “no” and serve as a baseline review by DHSES to determine if applicants are eligible and have appropriately submitted all of the required application materials. If any of the answers are “no,” the application will be immediately disqualified without further review and consideration for an award.

1. Was the application submitted on time?
2. Was the application submitted via E-Grants?
3. Was the application complete, including the **required** RFA Worksheet? The **required** RFA Worksheet must be attached in E-Grants by the submission due date.
4. Did the application meet all minimum eligibility requirements?
 - Applicant is an eligible organization as outlined in Section III;
 - Notice of Endorsement completed and attached;
 - Applicant met prequalification requirements prior to application deadline
5. Is the applicant current with NFIRS reporting, if applicable?

B. Tier 2 Criteria

Applications meeting the Tier 1 review set forth above will be evaluated competitively using the criteria specified below. Scores per criterion will be totaled to establish a ranked list of eligible applications for consideration of awards. Untimely submission of any requested supporting documentation to DHSES will be grounds to disqualify the original application.

Tier 2 Evaluation Criteria	Point Score Range
Proposed Budget Plan/Justification of Cost	0-20 points
Primary Objective	0-10 points
Implementation Plan	0-5 points
Sustainment Plan	0-10 points
Overall Assessment of Application	0-5 points
Sub-Total	50 Points Maximum
Bonus Points: Recruitment and Retention Regional Projects	0-5 points
Bonus Points: Leadership Training Projects	0-5 points
Total	60 Points Maximum
Grant Management Performance History	0-5 points (Subtracted off the top of the final score)

Applications receiving the highest score based upon panel review will be selected for recommendation to the Commissioner for award. The total scores will be averaged and ranked in order from highest to lowest. The State reserves the right, for the purpose of ensuring the completeness and comparability of proposals, to analyze submissions and make adjustments or normalize submissions in the proposals, including the applicant's technical assumptions, and underlying calculations and assumptions used to support the computation of costs, or to apply such other methods, as it deems necessary to make comparisons.

In the event of a tie score where one or more applications may not be fully funded, the applicant with the highest score from the combined Description of Proposed Recruitment and Retention Project and Budget and Primary Objective Evaluation sections will be ranked higher. If still tied, the applicant with the greatest overall population served will be ranked higher. The State also reserves the right, at its discretion, to make amendments and/or alter funding levels of one or more applicants based on any new information discovered that would have originally affected the scoring or to not award funding to any application with a final average score of 29 or less.

VIII. Checklist of Required Documents

1. Application Worksheet: Available here: <http://www.dhSES.ny.gov/ofpc/recruit-retain-grant/>
2. Pre-Qualification Confirmation: For those applicants who are required to Pre-Qualify (see Section III. B and Exhibit C of the RFA.), please upload your verification e-mail of pre-qualification and/or the report page confirming your status.
3. Notice of Endorsement ("Exhibit B"): The Notice of Endorsement document with all appropriate signatures must be scanned and submitted electronically as a pdf file attached or included with the application package. Please refer to "Exhibit B" for the Notice of Endorsement document.

IX. Timeline

DHSES must receive completed grant applications by September 14, 2018. Applications received after the due date and time will not be considered. Applications must be submitted via the DHSES E-Grants System. Please note that E-Grants Technical Assistance will only be available during business hours on the date the application is due. Furthermore, all written questions must be submitted to DHSES by September 11, 2018 to ensure that a timely response is provided to the applicant.

Grant applicants can expect to be notified of award decisions sometime in mid-October of 2018.

X. Approval and Notification of Awards

The Commissioner of DHSES will provide oversight of the grant review process. The Commissioner will announce the final grant award decisions based on the review panel's rating of applications and recommendations. DHSES will notify all applicants in writing as to final grant award determinations. Nothing herein requires or prohibits DHSES to approve grant funding for any one applicant, certain applicants, all applicants or no applicants. Any disbursement of an award is contingent upon entering into a contract with DHSES, as explained in further detail below.

Due to the competitive nature of this grant application, proposed changes to the scope of the program may not be approved post-award.

XI. Administration of Grant Contracts

DHSES will negotiate and develop a grant contract with the applicant or regional recruitment and retention partnership based on the contents of the submitted application and intent of the grant program as outlined in this RFA. The grant contract is subject to approval by the NYS Attorney General and the State Comptroller before grant funding may actually be disbursed to reimburse project expenses.

The period of performance for contracts supported by Grant Program funds will be one year from the date of the award. The final performance period will be communicated to applicants and/or grantees by DHSES. Although the contract format may vary, the contract will include such standard terms and conditions included in DHSES grant contracts available for review on the DHSES website: <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>

Award funding will be provided by DHSES to grantees through a reimbursement process established within the grant contract.

A. Issuing Agency

This RFA is issued by DHSES, which is responsible for the requirements specified herein and for the evaluation of all applications.

B. Filing an Application

Grant applications must be submitted via the automated DHSES E-Grants System. The system allows an agency to complete an application electronically and submit it over the Internet using a secure portal. If, upon reading this RFA, you are interested in completing a grant application and you have not previously been registered to use the DHSES E-Grants system, your agency will need to register and be assigned a user name and password. The Registration Request Form can be found at the following Internet address: <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>

A detailed tutorial on how to use the E-Grants system can also be found under the Grants tab at the following Internet address: <http://www.dhSES.ny.gov/ofpc/recruit-retain-grant/> It will guide you in a step-by-step process through the E-Grants application submission.

C. Reservation of Rights

DHSES reserves the right to:

1. Reject any and all applications received in response to this RFA;
2. Withdraw the RFA at any time at DHSES' sole discretion;
3. Make an award under the RFA in whole or in part;
4. Disqualify any applicant whose conduct and/or application fails to conform to the requirements of the RFA;
5. Seek clarifications and revisions of the applications;
6. Use application information obtained through site visits, management interviews and the State's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to DHSES' request for clarifying information in the course of evaluation and/or selection under the RFA;
7. Prior to the application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the application opening, direct applicants to submit application modifications addressing subsequent RFA amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all the prospective applicants;
11. Waive any requirements that are not material;
12. Negotiate with successful applicants within the scope of the RFA in the best interests of the State;
13. Conduct contract negotiations with the next responsible applicant, should DHSES be unsuccessful in negotiating with the selected applicant;
14. Utilize any and all ideas submitted in the applications received;
15. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the application opening; and,
16. Require clarification at any time during the application process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete

understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of this RFA.

17. DHSES reserves the sole discretion to increase or decrease the total funding available for this program at any time, resulting in more or fewer applications funded under this RFA.

D. Term of the Contract

1. Any resulting contract or agreement for more than \$50,000 from this RFA will be effective only upon approval by both the NYS Office of the Attorney General and State Comptroller. Any resulting contract for \$50,000 and under from this RFA will be effective upon signature of both parties.
2. Sub-recipients will need to provide up-to-date documentation of New York State Workers' Compensation and Disability Benefits coverage or exemption before grant award contract is finalized.

E. Payment and Reporting Requirements of Grant Awardees

1. Standard Cost Reimbursement Contract

Each successful applicant must enter into a standard cost reimbursement contract with DHSES, which includes this RFA, the successful applicant's proposal, any attachments or exhibits and the standard clauses required by the NYS Attorney General for all State contracts and any other special conditions as determined by DHSES. The contract will be subject to approval by the Attorney General and State Comptroller. Although the contract format may vary, the contract will include such clauses, information and responsibilities as can be found on the DHSES website, including;

- APPENDIX A-1 - Agency Specific Clauses
- APPENDIX B - Budget
- APPENDIX C - Payment and Reporting Schedule
- APPENDIX D – Work plan/Special Conditions

For purposes of this RFA, these terms and conditions are incorporated by reference and the applicant must agree to the inclusion of all of these terms and conditions in any resulting grant contracts as part of the application submission. Copies of the standard terms and conditions included in DHSES grant contracts are available for review online at: <http://www.dhSES.ny.gov/grants/forms-egrants.cfm>. Payments will be made subject to proper documentation and compliance with reimbursement procedures and all other contractual requirements.

2. Compliance with Procurement Requirements

- Applicants must follow and comply with all procurement procedures under General Municipal Law Article 5A and/or any other state regulation applicable to these funds and will be subject to monitoring by DHSES to ensure compliance.
- Grantees/Contractors are responsible to become familiar with and comply with all State and Local laws and regulations applicable to these funds.

- Applicants are required to consult with the NYS DHSES standard contract language (referenced above) for more information on specific requirements.
- As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) has developed a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms of law). Pursuant to SFL § 165-a(3)(b), the list is posted on the OGS website; <http://www.ogs.ny.gov/about/regs/ida.asp>.
- Sub-recipients shall at all times during the Contract term remain responsible. The Sub-recipient agrees, if requested by the Commissioner of DHSES, or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance and organizational and financial capacity.

a) **Suspension of Work for Non-Responsibility:**

The Commissioner of DHSES or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under the Contract, at any time, when he or she discovers information that calls into questions the responsibility of the Sub-recipient. In the event of such Suspension, the Sub-recipient will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Commissioner must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of DHSES or his or her designee issues a written notice authorizing the resumption of performance under the Contract.

b) **Termination for Non-Responsibility**

Upon written notice to the Sub-recipient, and a reasonable opportunity to be heard by appropriate DHSES officials or staff, the Contract may be terminated by the Commissioner of DHSES or his or her designee at the Sub-recipient’s expense where the Grantee/Contractor is determined by the Commissioner of DHSES or his or her designee to be non-responsible. In such event, the Commissioner of DHSES or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue legal or equitable remedies for breach.

3. Contracting with Small and Minority Firms, Women’s Business Enterprise and Labor Surplus Area Firms

Pursuant to New York State Executive Law Article 15-A, the New York State Division of Homeland Security and Emergency Services recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of New York State Division of Homeland Security and Emergency Services contracts.

Consistent with 2 CFR §200.321, non-Federal contracting entities must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

Affirmative steps must include:

1. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
2. Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
3. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
4. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
5. Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and
6. Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

For purposes of this solicitation, applicants and sub-recipients are hereby notified the State of New York has set an overall goal of **30% for MWBE participation** or more, **15% for Minority-Owned Business Enterprises ("MBE")** participation and **15% for Women-Owned Business Enterprises ("WBE")** participation, based on the current availability of qualified MBEs and WBEs for your project needs.

Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economics of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at <https://online.ogs.ny.gov/SDVOB/search>

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of applicable federal laws and regulations including 2 CFR Part 200, State Finance Law, General Municipal Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State Law. Utilizing

SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders and proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

For purposes of this solicitation, applicants and sub-recipients are hereby notified the State of New York has set an overall goal of 6% for SDVOB participation or more.

Contractor will report on actual participation by each SDVOB during the term of the contract to the contracting agency/authority according to policies and procedures set by the contracting agency/authority.

Subrecipients must include in its required workforce utilization reports the job title and salary of each employee of the subrecipient performing work under the DHSES grant contract; or of each employee in the subrecipient's entire workforce if the subrecipient cannot identify the individuals working directly on the DHSES grant contract. Subrecipients must include this same requirement on all subcontractors for their employees.

F. Satisfactory Progress

Satisfactory progress toward implementation includes, but is not limited to: executing contracts and submitting payment requests in a timely fashion, completing plans, reports, or other tasks identified with the recruitment and retention efforts funded by this Grant Program within the time allocated for their completion. DHSES may recapture awarded funds if satisfactory progress is not being made on the implementation of a grant project.

G. General Specifications

By submitting the application, the Applicant attests that:

1. Applicant has express authority to submit on behalf of the Applicant's organization and any Participating Partners.
2. Submission of an application indicates the Applicant's acceptance of all conditions and terms contained in this RFA, including A-1 and C, and all other terms and conditions of the award contract.
3. The application and any resulting grant, if awarded, must adhere to, and be in full compliance with any, resulting contract(s) and relevant federal and states policies and regulations or be subject to termination.

H. Special Conditions

New York State Emergency Management Certification and Training Program

1. Participation in, and successful completion of, the New York State Emergency Management Certification and Training Program (EMC Training Program) is a mandatory requirement under this Contract and a condition of funding. The EMC Training Program will be made available to, and required for, DHSES-specified county and city government officials in order to ensure a consistent emergency management preparedness and response strategy across the State. Attendee substitutions, except as expressly approved by DHSES, shall not be permitted or deemed to be in compliance with this requirement.
2. To fulfill the EMC Training Program requirement of the Contract and in order to be eligible for funding under this Contract, Contractors must arrange for DHSES-specified Contractor employees to receive and acknowledge receipt of EMC Training no later than 180 days after execution of this Contract. Copies of the training certificates for each required participant must be submitted to DHSES upon execution of the Contract, or, in the event that training is scheduled, but not yet complete, the Contractor will be required to submit a signed statement indicating the scheduled future dates of attendance, and no later than thirty (30) days after the training is complete, forward such training certificates to DHSES. Continued compliance with the EMC Training Program also requires an annual refresher training of one day per 365 day-cycle from the date of initial training for previously trained individuals if such person remains employed by the Contractor and fulfilling the same functions as he or she fulfilled during the initial training. Should a new employee be designated to serve in the DHSES-specified positions, then he or she must come into compliance with the EMC Training Program requirements not later than 180 days after taking office.
3. Contractors must commit to active participation in a DHSES Annual Capabilities Assessment as a condition of funding. Active participation includes making reasonable staff, records, information, and time resources available to DHSES to perform the Annual Capabilities Assessment and meet the objectives and goals of the program. Recipients must be aware that the process of conducting a DHSES Annual Risk Assessment is an ongoing process and requires a continued commitment on the part of the Contractor to ensure that it is effective.
4. All recipients and sub-recipients funded through this program agree to provide DHSES, upon request at any time during the life of the grant contract, such cooperation and information deemed necessary by DHSES to ascertain: (1) the nature and extent of any threats or hazards that may pose a risk to the recipients or sub-recipients; and (2) the status of any corresponding recipients or sub-recipients plans, capabilities, or other resources for preventing, protecting against, mitigating, responding to, and recovering from such threats or hazards.
5. Additionally, pursuant to Article 26 of the NYS Executive law, DHSES is authorized to undertake periodic drills and simulations designed to assess and prepare responses to terrorist acts or threats and other natural and man-made disasters. Funded recipients and sub-recipients agree to attend and participate in any DHSES-sponsored conferences, training, workshops or meetings (excluding those identified by DHSES as voluntary) that may be conducted, by and at the request of DHSES, during the life of the grant contract.
6. Failure to comply with any of the requirements, as listed above, may result in sanctions up to and including the immediate suspension and/or revocation of the grant award.

XII. Questions

Questions regarding the FY2018-2019 Recruitment and Retention Grant Program should be directed to the following email address: Grant.Info@dhses.ny.gov. To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until 12:00 noon on September 11, 2018.

Updates and frequently asked questions will be posted on the NYS Division of Homeland Security and Emergency Services (DHSES) website: <http://www.dhses.ny.gov/ofpc/recruit-retain-grant/> Please check the website frequently for updates.

All questions regarding the E-Grants System should be directed to DHSES via email (Grant.Info@dhses.ny.gov) or telephone (866-837-9133). No technical assistance will be available after **5:00pm on September 14, 2018.**

Exhibit A: Best Practices for Preparing an Effective Grant Application

What to do when you have received the Request for Applications (RFA):

- It is important to start early in preparing your application, highlighting deadlines and/or tasks that must be completed as part of the application process.
- Review all plans, strategies, policies and documents related to the grant you are applying for to ensure you can appropriately address the goals and objectives pertaining to the nature of the grant opportunity.

What to do when you are completing the application:

- Ensure that the proposed budget is realistic, reasonable, and articulate how your budget will address the objectives of the grant opportunity.
- Review and evaluate the scoring criteria. Pay close attention to the sections that are weighted the most first as they have a greater impact on your overall score.
- If your grant application requires you to reference goals and/or objectives, make sure the goals and objectives you cite are measurable. Goals should reflect the long-term and global impact of a program or project. Meanwhile, objectives should be specific and measurable building blocks designed to meet your goals.
- Create an evaluation plan that demonstrates how you will assess your proposed projects for effectiveness and/or meeting the objectives of the grant opportunity, even if such a plan is not required.
- Address steps that will be taken to institutionalize, sustain, or enhance the capabilities or proposed project being developed after grant funding has been exhausted

What to do prior to submitting your application:

- Make sure that you have completed all the required sections of the application. Applicants are strongly recommended to share their completed applications with a colleague to ensure that the application is clearly written and addresses all the objectives of the grant opportunity.

Exhibit B: Notice of Endorsement

Please note: This document must be completed and signed where appropriate, then scanned into a PDF to be submitted with the Application package

<p>My signature below indicates that I understand and agree to the purpose, conditions and rules surrounding the FY2018-2019 Recruitment and Retention Grant Program and that by signing this document, I acknowledge these conditions and pledge to work cooperatively to fulfill the purpose of the grant, if awarded.</p>	
I. Application Type (select only one)	
<input type="checkbox"/> Option 1: Individual Application (For use by an eligible organization listed under Section III of the RFA). Complete Sections II and IV below.	
<input type="checkbox"/> Option 2: Regional Application (For use by a Regional Partnership). Complete Sections II, III and IV below. Note: Section IV is not required for statewide organizations or EMS agencies.	
II. Submitting Partner (Organization)	
Name of Organization	
Official's Name and Title	
Authorized Official Signature	
Date	
III. Participating Partner(s): Attach list as needed	
Name of Organization	
Official's Name and Title	
Authorized Official Signature	
Date	
IV. County Fire Coordinator (CFC)/Emergency Manager (EM) Verification (Fire Sector Applicants Only)	
<p>For volunteer Fire Companies or Fire Departments applying for this funding, the CFC/EM is asked to endorse the Applicant as outlined above by providing their signature below. Neither the County, nor yourself, are asked to endorse the merits of the application. For EMS agencies applying for this funding, verification will be provided by the NYS Dept. of Health-BEMS office, therefore a signature in this section is not required.</p>	
Official's Name and Title	
Authorized Official Signature	
County	
Date	

Exhibit C: Prequalification Requirement for Applicants

The State of New York has implemented a statewide prequalification process designated to facilitate prompt contracting for nonprofit organizations. Nonprofit organizations will be asked to submit commonly requested documents, and answer frequently asked questions once. Organizations will submit their responses online in the Grants Gateway, and all information will be stored in a virtual, secured vault. In addition, an electronic “vault” will permit critical documents to be submitted and stored electronically to be used by all State agencies reviewing grants.

Nonprofit organizations are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements.

- On the Grants Reform Website at (<http://grantsreform.ny.gov/Grantees>), download a copy of the Registration Form for Administrator. Please review the instructions for submission of this form. The registration form must be signed and notarized and mailed to the NYS Grants Reform, 99 Washington Avenue, Room 1530, Albany, NY 12210-2814 along with a copy of your organizational chart that shows, at a minimum, the top three levels of your organization. The form also requires your 10 digit Statewide Financial System (SFS) Vendor ID Number. If your organization does not have a SFS Vendor ID Number, you must submit a completed Substitute W-9 Form along with your Registration Form. The Substitute W-9 Form can be found on the Grants Gateway website at (<http://grantsreform.ny.gov/Grantees>). Incomplete forms or missing documentation will hold up your registration process.
- Upon submission of your Registration Form, you will be emailed a User ID allowing you to gain access to the Grants Gateway. Log into the Gateway System to begin your prequalification application.
- Click the *Organization(s)* link at the top of the page and complete the required fields. This page should be completed in its entirety before you SAVE.

Note: To ensure prompt review of your pre-qualification document vault, please ensure that you have selected the Division of Homeland Security and Emergency Services (DHSES) as your “filing” agency.

- A *Document Vault* link will become available near the top of the page after the required Organization information is filled in. Click on the Document Vault link to access the main Document Vault page. Answer the questions in the *Required Forms* and upload documents in the *Required Documents Section*. This constitutes your Pre-Qualification Application. Optional Documents are not required unless specified in this Request for Applications.
- As you fill out the prequalification application, please refer to the Gateway Training Materials and resource links posted on the Grants Reform website to help you navigate through the process. If you still have questions, please contact the Grants Reform Office at grantsreform@its.ny.gov and someone will get back to you quickly with a response.

- After completing your Pre-Qualification Application, click the *Submit Document Vault* link located below the Required Documents section to submit your Pre-Qualification Application for State agency review.
- If your Pre-Qualification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Pre-Qualification Application has been approved, you will receive a Gateway email notification that you are now pre-qualified to do business with New York State.
- To learn how to obtain the status sheet from the Grants Gateway website verifying that you are prequalified, please refer to pages 56-58 of the E-Grants Tutorial located at:
<http://www.dhSES.ny.gov/ofpc/recruit-retain-grant/>